

CSBG State Plan

Program Community Services Block Grant
Name:

Grantee Name: UTAH

Report Name: CSBG State Plan

Report Period: 10/01/2019 to 09/30/2020


Report Status: Submitted

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CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)				Form Approved OMB No: 0970-0382 Expires: 06/30/2021	
COVER PAGE					
* 1.a. Type of Submission: Plan		* 1.b. Frequency: Annual		* 1.c. Consolidated Application /Plan/Funding Request? Explanation:	
		2. Date Received:		* 1.d. Version: Initial	
		3. Applicant Identifier:			
		4a. Federal Entity Identifier:		5. Date Received By State:	
		4b. Federal Award Identifier:		6. State Application Identifier:	
7. APPLICANT INFORMATION					
* a. Legal Name: State of Utah					
* b. Employer/Taxpayer Identification Number (EIN/TIN): 876000545				* c. Organizational DUNS: 621491328	
* d. Address:					
* Street 1:	1385 South State Street		Street 2:		
* City:	Salt Lake City		County:		
* State:	UT		Province:		
* Country:	United States		* Zip / Postal Code:	84115 -	
e. Organizational Unit:					
Department Name: Workforce Services				Division Name: Housing and Community Development	
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix:	* First Name: Rebecca		Middle Name:		* Last Name: Banner
Suffix:	Title: Assistant Director		Organizational Affiliation: Housing and Community Development Division		
* Telephone Number: (801) 468-0194	Fax Number		* Email: rbanner@utah.gov		
* 8a. TYPE OF APPLICANT: A: State Government					
b. Additional Description:					
* 9. Name of Federal Agency:					
<div style="display: flex; justify-content: space-between;"> <div></div> <div>Catalog of Federal Domestic Assistance Number:</div> <div>CFDA Title:</div> </div>					
10. CFDA Numbers and Titles		93569		Community Services Block Grant	
11. Descriptive Title of Applicant's Project CSBG State Plan FY 2019					
12. Areas Affected by Funding: statewide					
13. CONGRESSIONAL DISTRICTS OF:					
* a. Applicant 2			b. Program/Project: Statewide		
Attach an additional list of Program/Project Congressional Districts if needed.					
14. FUNDING PERIOD:			15. ESTIMATED FUNDING:		
a. Start Date:		b. End Date:		* a. Federal (\$): \$0	b. Match (\$): \$0

* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?	
a. This submission was made available to the State under the Executive Order 12372	
Process for Review on :	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt?	
<input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
	08/23/2019
Attach supporting documents as specified in agency instructions.	

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)		Form Approved OMB No:0970-0382 Expires:06/30/2021	
SECTION 1 CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter			
1.1. Identify whether this is a One-Year or a Two-Year Plan		<input checked="" type="radio"/> one-year <input type="radio"/> two-year	
1.1a. Provide the federal fiscal years this plan covers:		Year One 2020	Year Two
1.2. Lead Agency: Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. <i>Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.</i>			
Has information in regards to the state lead agency has changed since the last submission of the state plan? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, provide the date of change and select the fields that have been updated			
<input type="checkbox"/> Lead Agency	<input type="checkbox"/> Department Type	<input type="checkbox"/> Department Name	
<input type="checkbox"/> Authorized Official	<input type="checkbox"/> Street Address	<input type="checkbox"/> City	
<input type="checkbox"/> Zip Code	<input type="checkbox"/> Business Number	<input type="checkbox"/> Fax Number	
<input type="checkbox"/> Email Address	<input type="checkbox"/> Website		
1.2a. Lead agency		Department of Workforce Services, Housing & Community Development Division	
1.2b. Cabinet or administrative department of this lead agency <i>(Select one option and narrative where applicable)</i>			
<input type="radio"/> Community Services Department			
<input type="radio"/> Human Services Department			
<input type="radio"/> Social Services Department			
<input type="radio"/> Governor's Office			
<input type="radio"/> Community Affairs Department			
<input type="radio"/> Health Department			
<input type="radio"/> Housing Department			
<input checked="" type="radio"/> Other, describe Department of Workforce Services			
1.2c. Cabinet or Administrative Department Name: Provide the name of the cabinet or administrative department of the CSBG authorized official		Department of Workforce Services	
1.2d. Authorized official of the lead agency			
Name: Jonathan Hardy		Title: Director, Housing & Community Development Division	
1.2e. Street Address		1385 S. State Street, Suite 400	
1.2f. City		Salt Lake City	1.2g. State UT
		1.2h. Zip 84115	
1.2i. Telephone number and extension 801 468 - 0137 ext.		1.2j. Fax number 801 468 - 0211	
1.2k. Email address jhardy@utah.gov		1.2l. Lead agency website https://jobs.utah.gov/housing	
1.3. Designation Letter:			

Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or the designated agency has changed.

1.4. CSBG Point of Contact: provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has Information in regards to the state point of contact has changed since the last submission of the state plan? ☒ Yes ☐ No

If yes, provide the date of change and select the fields that have been updated [Date picker and check all the apply](#) 03/11/2019

<input type="checkbox"/>	Agency Name	<input checked="" type="checkbox"/>	Point of Contact	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	Zip Code	<input checked="" type="checkbox"/>	Office Number
<input type="checkbox"/>	Fax Number	<input checked="" type="checkbox"/>	Email Address	<input type="checkbox"/>	Website

1.4a. Agency Name [Housing & Community Development Division, State Community Services Office](#)

1.4b Point of Contact Name

Name: [Sisifo Taatiti](#)

Title: [Director, State Community Services Office](#)

1.4c. Street Address

1385 South State Street

1.4d. City

Salt Lake City

1.4e. State [UT](#)

1.4f. Zip [84115](#)

1.4g. Telephone Number [801 468 - 0069](#) ext.

1.4h. Fax Number [801 468 - 0211](#)

1.4i. Email Address staatiti@utah.gov

1.4j. Agency Website <https://jobs.utah.gov/housing/scso/csbg/index.html>

1.5. Provide the following information in relation to the State Community Action Association.

There is currently a state Community Action Association within the state. ☒ Yes ☐ No

Has Information in regards to the state Community Action Association has changed since the last submission of the state plan? ☒ Yes ☐ No

If yes, provide the date of change and select the fields that have been updated [Date picker and check all the apply](#) 10/01/2018

<input type="checkbox"/>	Agency Name	<input checked="" type="checkbox"/>	Executive Director	<input type="checkbox"/>	Street Address
<input type="checkbox"/>	City	<input type="checkbox"/>	State	<input type="checkbox"/>	Zip Code
<input type="checkbox"/>	Office Number	<input type="checkbox"/>	Fax Number	<input checked="" type="checkbox"/>	Email Address
<input type="checkbox"/>	Website	<input type="checkbox"/>	RPIC Lead		

1.5a. Agency Name [Utah Community Action Partnership Association dba Community Action Partnership of Utah](#)

1.5b. Executive Director or Point of Contact

Name: [Clint Cottam](#)

Title: [Executive Director](#)

1.5c. Street Address

5284 Commerce Dr. #C-264

1.5d. City

Murray

1.5e. State [UT](#)

1.5f. Zip [84107](#)

1.5g. Telephone number [801 433 - 3025](#) ext.

1.5h. Fax number -

1.5i. Email Address clint@caputah.org

1.5j. State Association Website <https://caputah.org>

1.5k. State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead ☐ Yes ☒ No

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

State has a statute authorizing CSBG ☒ Yes ☐ No

2.2. CSBG State Regulation:

State has regulations for CSBG ☒ Yes ☐ No

2.3. Legislation/Regulation Document: Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Item 2.1. and/or Item 2.2.

Please see attached.

2.4. State Authority:

Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:

2.4a. Authorizing Legislation: State legislature enacts authorizing legislation or amendments to an existing authorizing statute, last federal fiscal year ☐ Yes ☒ No

2.4b. Regulation Amendments: State established or amended regulations for CSBG last federal fiscal year ☐ Yes ☒ No

2.4c. Designation: State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency ☒ Yes ☐ No

Section 3: State Plan Development and Statewide Goals

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the state agency that serves as the CSBG Lead Agency.

The State Community Services Office (SCSO) provides guidance, oversight, and funding to help communities assist people to become more self-reliant (socially, physically, culturally, and economically) by working to reduce the impacts of poverty and improving the quality of life for low-income Utahns. The SCSO coordinates State activities designed to reduce the impacts of poverty and encourage entities in the private sector to participate in efforts to ameliorate poverty in the community. The SCSO will continue to develop and refine policies and procedures to enhance management of goals and standards. The SCSO supports efforts to assist grantees to use data and needs assessment information to improve service and program delivery while preserving the flexibility and local initiative of CSBG to impact and address local poverty issues.

3.2. State Plan Goals:

Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan.

(Note: This information is associated with State Accountability Measure 1Sa(i) and pre-populates the State's Annual Report, Module 1, Item B.1.)

Goal 1: The SCSO will administer the CSBG program in Utah in accordance with its mission and in compliance with all applicable statutes, rules, and regulations, in a manner which will increase management efficiency and program effectiveness. Objective 1: The SCSO will allocate and distribute funds in accordance with the CSBG Act and amendments. Objective 2: The SCSO will ensure fiscal accountability of CSBG grantees. Objective 3: The SCSO will support organizational best practices and strengthen organizational capacity, management efficiency, and program effectiveness through review for compliance with the CSBG Organizational Standards as set forth by the Office of Community Services. Goal 2: To advocate for the continuation of funds, community involvement and support, and the expansion of programs to provide services and activities having a measurable impact on the causes and conditions of poverty. Objective 1: Conduct planning activities to promote the successful results of CSBG-funded activities that collaborate with all interested parties throughout the State with the greatest potential impact on poverty in Utah. Objective 2: The SCSO will monitor and evaluate grantee performance through data collection, program assessment, compliance with the organizational standards, and regular on-site visits. Objective 3: Consistent with available resources, training and technical assistance will be provided through the SCSO to increase administrative and operational effectiveness, including compliance with the organizational standards Objective 4: The SCSO, in conjunction with other state offices, will research and report on poverty conditions, including intergenerational poverty, and anti-poverty program outcomes throughout State..

3.3. State Plan Development:

Indicate the information and input the state accessed to develop this State Plan.

3.3a. Analysis of state-level tools [Check all that apply and narrative where applicable]

☒ State Performance Indicators and/or National Performance Indicators (NPIs)

☐ U.S. Census data

☒ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)

☒ Monitoring Visits/Assessments

☒ Tools not identified above (specify)

SCSO utilized information from the State's Intergenerational Poverty Report and from the State's Comprehensive Report on Homelessness

3.3b. Analysis of local-level tools [Check all that apply and narrative where applicable]

☒ Eligible entity community needs assessments

☒ Eligible entity community action plans

☒ Public Hearings/Workshops

☐ Tools not identified above (e.g., State required reports)(specify)

3.3c. Consultation with [Check all that applies and narrative where applicable]

☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)

☒ State Association

☒ National Association for State Community Services Programs (NASCSPP)

☒ Community Action Partnership (The Partnership)

☐ Community Action Program Legal Services (CAPLAW)

☐ CSBG Tribal Training and Technical Assistance (T/TA) provider

☐ Regional Performance Innovation Consortium (RPIC)

☐ Association for Nationally Certified ROMA Trainers (ANCRT)



Federal CSBG Office



Organizations not identified above [Specify]

3.4. Eligible Entity Involvement**3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.***(Note: This information is associated with [State Accountability Measures 1Sa\(ii\)](#) and may pre-populate the State's annual report form)*

SCSO worked collaboratively with the State Association to gather input for the FY20 CSBG State Plan. SCSO directly led surveys and discussions last year in preparation of the FY19 plan, and determined that more input might be shared if the state association took the lead on gathering input for the FY20 plan. The State Association sent a survey to all CAAs on January 30, 2019. Included in the survey was a request for specific input on teaching and technical assistance as well as request for agency suggestions for use of discretionary funds. The topic was also discussed at the State Association's strategic planning held January 31, 2019. All nine CAAs participated in that strategic planning session. Agencies were also invited to gather at round table discussions (3/26/19 and 4/12/19) about the State Plan. SCSO called in for each of the round table meetings to allow for direct questions. These discussions were held regionally so as to facilitate better attendance. Email, survey, and round table results were shared by the State Association with SCSO and used in the development of a draft of the FY20 CSBG State Plan. A draft plan was shared with the agencies on June 14, 2019 and additional comment requested. CAAs were also notified of the public hearing held July 16, 2019. Agencies were also able to submit comments during the public comment period which closed August 16, 2019.

3.4b. Performance Management Adjustment: Describe how the state adjusted its State Plan development procedures under this State Plan, as compared to previous plans in order to:

- 1) encourage eligible entity participation and
- 2) ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing.

If the State is not making any adjustments, provide further detail.

(Note: This information is associated with [State Accountability Measures 1Sb\(i\)](#) and [\(ii\)](#) and pre-populate the Annual Report, Module 1, Item B.1.)

SCSO moved to an annual State Plan submission in FY19 to ensure responsiveness to local and State identified priorities and to facilitate continuous discussion and review with the CAAs. It implemented changes for the development of the FY19 plan to more directly gather input from CAAs. For the development of the FY20 plan, SCSO has coordinated with the State Association, which conducted surveys and round table discussions to gather feedback. By partnering with the State Association and by limiting SCSO's presence in the process (we called into the round table discussions to answer questions), we hoped to improve the amount and directness of feedback and input for the development of the FY20 plan. Agencies were sent a draft of the state plan (June 14, 2019) for review and comment more than a month ahead of the scheduled public hearing (July 16, 2019).

3.5. Eligible Entity Overall Satisfaction:

Provide the State's [target](#) for eligible entity Overall Satisfaction during the performance period:

Year One

85 Year Two

Instructional Note: The state's target score will indicate improvement or maintenance of the state's Overall Satisfaction score from the most recent [American Customer Survey Index \(ACSD\) survey](#) of the state's eligible entities.

(Note: Item 3.5 is associated with [State Accountability Measure 8S](#) and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements

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Administration for Children and Families
Community Services Block Grant (CSBG)

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OMB No: 0970-0382
Expires:06/30/2021

SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under [Section 676\(e\)\(2\)](#) of the Act.

Public Inspection of State Plan: Copies of the State Plan were made available by visiting the website of the State Community Services Office at <https://jobs.utah.gov/housing/scso/csbj/index.html>. Copy of the plan was posted to the public notice website (<https://www.utah.gov/pmn/index.html>) on June 14, 2019. In addition, a copy of the plan was distributed on June 14, 2019 to the following locations statewide to ensure statewide access to the plan: Department of Workforce Services in Salt Lake City, Bear River Association of Governments, Ogden Weber Community Action Partnership, Family Connection Center dba Open Doors, Salt Lake Community Action Program dba Utah Community Action, Community Action Services and Food Bank, Six County Association of Governments, Five County Association of Governments, Uintah Basin Association of Governments, Southeastern Utah Association of Local Governments, and Utah Community Action Partnership Association dba Community Action Partnership of Utah.

4.2. Public Notice/Hearing:

Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) of the CSBG Act.

Process for public notice/hearing: The State Community Services Office published the Notice of Public Comment and Public Hearing on June 14, 2019 on the public notice website and in local newspapers. The public hearing was held July 16, 2019, in Salt Lake City. Interested parties were notified that copies of the CSBG plan were available by visiting the SCISOs website, the public notice website, as well as all 9 community action agencies and the state association. Public comment remained open until August 16, 2019.

4.3. Public and Legislative Hearings:

In the table below, specify the [date\(s\)](#) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) and [Section 676\(a\)\(3\)](#) of the Act.

	Date	Location	Type of Hearing [Select an option]	If a combined hearing was held, confirm that the public was invited
1	07/16/2019	1385 S State Street, Salt Lake City Utah 84115	Public	<input type="checkbox"/>
2	08/21/2019	State capitol--350 North State Street, Salt Lake City, Utah 84111	Legislative	<input type="checkbox"/>

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.
Please see attached.

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, indicate whether each eligible entity in the state, is public or private, the type(s) of entity, and the geographical area served by the entity.

Note: Table 5.1 pre-populates the Annual Report, Module 1, Table C.1.

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Geographical Area Served by county (Provide all counties)	Public or Nonprofit	Type of Entity [choose all that apply]
1	Bear River Association of Governments	Box Elder County, Cache County, Rich County	Public	Community Action Agency
2	Community Action Services and Food Bank	Summit County, Utah County, Wasatch County	Non-Profit	Community Action Agency
3	Family Connection Center	Davis County, Morgan County	Non-Profit	Community Action Agency
4	Five County Association of Governments	Beaver County, Iron County, Garfield County, Kane County, and Washington County	Public	Community Action Agency
5	Ogden-Weber Community Action Partnership Inc.	Weber County	Non-Profit	Community Action Agency
6	Salt Lake Community Action Program	Salt Lake County, Tooele County	Non-Profit	Community Action Agency
7	Six County Association of Governments	Juab County, Millard County, Piute County, Sanpete County, Sevier County, and Wayne County	Public	Community Action Agency
8	Southeastern Utah Association of Local Governments	Carbon County, Emery County, Grand County, and San Juan County	Public	Community Action Agency
9	Uintah Basin Association of Governments	Daggett County, Duchesne County, and Uintah County	Public	Community Action Agency

5.2. Total number of CSBG eligible entities **9**

5.3. Changes to Eligible Entities List:

Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: [Check all that apply].

- ☐ Designation and/or Re-Designation
☐ De-designations and/or Voluntary Relinquishments
☐ Mergers
☒ No Changes to Eligible Entities List

5.3a. Designation and Re-Designation: Identify any new entities that have beendesignated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year.Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served	Delete

5.3b. Designation and Voluntary Relinquishments: Identify any entities that are no longer receiving CSBG funding. Include any eligible entities that have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last Federal Fiscal Year (FFY). Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated)

CSBG Eligible Entity	Reason	Delete

5.3c. Mergers: In the table below, provide information about any **mergers or other combinations** of two or more eligible entities that were each listed in the prior year State Plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.	Delete

Section 6: Organizational Standards for Eligible Entities

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SECTION 6 Organizational Standards for Eligible Entities	
Note: Reference IM 138, <i>State Establishment of Organizational Standards for CSBG Eligible Entities</i> , for more information on Organizational Standards. Click HERE for IM 138.	
6.1. Choice of Standards: Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period <input checked="" type="radio"/> COE CSBG Organizational Standards <input type="radio"/> Modified version of COE CSBG Organizational Standards <input type="radio"/> Alternative set of Organizational Standards	
6.1a. Modified Organizational Standards: In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale. N/A	
6.1b. Alternative Organizational Standards: If using an alternative set of organizational standards, attach the complete list of alternative organizational standards.	
6.1c. Alternative Organizational Standards Changes: If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards <input type="radio"/> There were no changes from the previous State Plan submission	
Provide reason for using alternative standards N/A	
Describe rigor compared to COE-developed Standards N/A	
6.2. Implementation: Check the box that best describes how the state officially adopt(ed) organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. <i>[Check all that apply and narrative where applicable]</i>	
<input type="checkbox"/> Regulation	
<input checked="" type="checkbox"/> Policy	
<input checked="" type="checkbox"/> Contracts with eligible entities	
<input type="checkbox"/> Other, describe:	
6.3. Organizational Standards Assessment: Describe how the state assess eligible entities against organizational standards this federal fiscal year (s). <i>[Check all that apply.]</i>	
<input type="checkbox"/> Peer-to-peer review <i>(with validation by the State or state-authorized third party)</i>	
<input type="checkbox"/> Self-assessment <i>(with validation by the State or state-authorized third party)</i>	
<input type="checkbox"/> Self-assessment/peer review with state risk analysis	
<input type="checkbox"/> State-authorized third party validation	
<input checked="" type="checkbox"/> Regular, on-site CSBG monitoring	
<input type="checkbox"/> Other	
6.3a. Assessment Process: Describe the planned assessment process. The SCSO expects all agencies to be in compliance with the organizational standards in FY20. A compliance rate that is below full conformity will require corrective action for each standard that is not met. SCSO issued corrective action will be developed in partnership with the agencies and progress will be monitored by SCSO. SCSO will provide final review, determination, and approval of corrective action type and plan, as well as any revisions to corrective action plans. An organizational standard assessment tool is included in SCSO's monitoring tool and addresses the 58 standards required for private CAAs as well as the 50 standards required for public CAAs. The SCSO program specialist reviews agencies for compliance with the organizational standards as part of the program monitoring process and may include in this process desktop review of supporting documentation. Documents not submitted in advance for desktop review are viewed in the field during the on-site monitoring visit. During the on-site visit, opportunity is provided to answer questions as well as explain any deficiencies in meeting the organizational standards. Any areas of noncompliance found during the on-site visit are discussed during an exit interview; opportunity is provided for additional explanation, and if corrective action is needed, the agency is invited	

to submit a corrective action plan which is reviewed by SCSO. Once an acceptable corrective action plan is in place, an SCSO program specialist follows up with the agency to ensure corrections are in place.

6.4. Eligible Entity Exemptions: Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? ☐ Yes ☒ No

6.4a. Provide the specific eligible entities the state will exempt from meeting organizational standards, and provide a description and a justification for each exemption

Total Number of Exempt Entities: 0

CSBG Eligible Entity	Description / Justification	Delete

6.5. Performance Target: Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for FFY(S) for this planning period

Year One	100%	Year Two
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Note: Item 6.5 is associated with [State Accountability Measures 6Sa](#) and prepopulate the Annual report, Module 1, Table D.2.

Section 7: State Use of Funds

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires: 06/30/2021	
SECTION 7 State Use of Funds		
Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]		
7.1. Formula: Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.		
<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Base + Formula</div> <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div>		
7.1a. Formula Description: Describe the current practice for allocating CSBG funds to eligible entities. The 9 eligible entities receive a \$50,000 base and a percentage of the remaining 90% pass through funds. A "poverty percentage" was determined per jurisdiction as part of the revised funding formula adopted by Utah in FY2014. Based on ACS data from 2007-2011, each jurisdiction's percent of the State's total population living at or below 125% of poverty level was determined and used as a multiplier in addition to the base allocation.		
7.1b. Statute: Does a state statutory or regulatory authority specify the formula for allocating "not less than 90 percent" funds among eligible entities? <input type="radio"/> Yes <input checked="" type="radio"/> No		
7.2. Planned Allocation: Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and "not less than of 90 percent funds" as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.		
Note: This information pre-populates the state's Annual Report, Module 1, Table E.2.		
Year One	90.00%	Year Two
Planned CSBG 90 Percent Funds		
CSBG Eligible Entity	Year One Funding Amount \$	Delete
Bear River Association of Governments	\$254,478	
Community Action Services and Food Bank	\$660,886	
Family Connection Center	\$259,010	
Five County Association of Governments	\$310,272	
Ogden-Weber Community Action Partnership Inc.	\$299,226	
Salt Lake Community Action Program	\$1,123,370	
Six County Association of Governments	\$142,043	
Southeastern Utah Association of Local Governments	\$136,379	
Uintah Basin Association of Governments	\$96,446	
Total	\$3,282,110	
7.3. Distribution Process: Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).		
CSBG funds are made available to the eligible entities as the State receives award letters from the Department of Health and Human Services, Administration for Children and Families (ACF). Contracts are amended with the receipt of each award letter. The contract process starts with the eligible entity's application for funds, usually in August. Applications include a projected budget based on the final award of the prior fiscal year; however, contracts are created and then amended per receipt of award letter. SCSO works to have contracts in place by October 1. (Application period 3 weeks; Contracting period 3 weeks; Amendment process 3 weeks). With an executed contract in place, an eligible entity may access funds through submission of claim for reimbursement. Using SCSO's online system, eligible entities submit a claim, upload appropriate supporting documentation, and receive same day notification of the claim's submission. Claims are reviewed by SCSO staff generally within 3 business days. If there are questions on the claim or any of its documentation, the claim is put in correcting status and the agency contacted so that correction can be made. When the claim has been reviewed and approved it is forwarded to the finance department for final review (up to 5 days) and for payment, most often made by direct deposit (1 business day). If a check is required for payment, the payment process may take 5 days for the entity to receive payment.		

7.4. Distribution Timeframe: Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? <input checked="" type="radio"/> Yes <input type="radio"/> No		
7.4a. Distribution Consistency: If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.		
<i>Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the state's annual report form.</i>		
7.5. Performance Management Adjustment: Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail.		
<i>Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the state's annual report form.</i>		
During this reporting period, the Housing & Community Development Division, of which SCSSO is part, created a contracting team to further streamline process and improve contract accuracy. The decision to reorganize and create a dedicated team resulted from internal review of procedures and documents. An opportunity to improve was identified and implementation took the form of a specialized team.		
Administrative Funds [Section 675C(b)(2) of the CSBG Act]		
<i>Note: This information pre-populates the state's Annual Report, Module 1, Table E.4.</i>		
7.6. Allocated Funds: Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State plan.		
Year One (0.00%)	Year Two (0.00%)	
7.7. State Staff: Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan		
Year One	5.00	Year Two
7.8. State FTEs: Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan		
Year One	3.00	Year Two
7.9. Remainder/Discretionary Funds Use: Does the state have remainder/discretionary funds, as described in Section 675C(b)(1) of the CSBG Act ? <input checked="" type="radio"/> Yes <input type="radio"/> No		
If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below.		
Year One (0.00%)	5.00%	Year Two (0.00%)
Use of Remainder/Discretionary Funds(See Section 675C(b)(1) of the CSBG Act)		
<i>Note: This response will link to the corresponding assurance, Item 14.2.</i>		
<i>If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. - 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.</i>		
<i>Note: This information is associated with State Accountability Measures 3Sa and pre-populates the annual report Module 1, Table E.7.</i>		
Remainder/Discretionary Fund Uses	Year One Planned \$	Brief description of services/activities and/or activities
7.9a. Training/technical assistance to eligible entities	\$80,000.00	These planned services/activities will be described in State Plan Item 8.1.
7.9b. Coordination of state-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9c. Statewide coordination and communication among eligible entities	\$14,000.00	These planned services/activities will be described in State Plan Section 9, state Linkages and Communication.
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	
7.9e. Asset-building programs	\$0.00	
7.9f. Innovative programs/activities by eligible entities or other neighborhood groups	\$1,500.00	Support of peer to peer learning within the community action network
7.9g. State charity tax credits	\$0.00	
7.9h. Other activities, specify in column 3	\$86,839.00	The State will support other activities as they are identified throughout the year that are network and state office priorities, including support of ROMA certification
Total	\$182,339.00	

7.10. Remainder/Discretionary Funds Partnerships: Select the types of organizations, if any, the State Plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.

[Check all that apply and narrative where applicable]

<input type="checkbox"/>	The state directly carries out all activities (No Partnerships)
<input type="checkbox"/>	The state partially carries out some activities
<input checked="" type="checkbox"/>	CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) 1
<input checked="" type="checkbox"/>	Other community-based organizations
<input checked="" type="checkbox"/>	State Community Action association
<input type="checkbox"/>	Regional CSBG technical assistance provider(s)
<input type="checkbox"/>	National technical assistance provider(s)
<input type="checkbox"/>	Individual consultant(s)
<input type="checkbox"/>	Tribes and Tribal Organizations
<input type="checkbox"/>	Other

Note: This response will link to the corresponding CSBG assurance, item 14.2.

7.11. Performance Management Adjustment:

Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 3Sb](#), and may pre-populate the State's annual report form.

The State gathered eligible entity input on the use of discretionary funds through survey and round table discussions and incorporated agency input as evidenced in the adjustments from the FY 19 discretionary plan to the FY 20 plan. The increase in the teaching and technical assistance amount planned for the state association reflects the new leadership within that organization. The state association plans to take on more of the t/ta needed by the CAAs. The State will also continue to fund its portion of teaching and technical assistance activity through its admin allocation and thereby make available more discretionary resources for locally identified priorities. This significant shift to funding the "Other" category reflects effort by the State office to direct discretionary funds to priorities identified by the network as well as the state office.

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
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SECTION 8 State Use of Funds

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below.

(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

Note: This information is associated with [State Accountability Measure 3Sc](#) and pre-populates the Annual Report, Module 1, Table F.1.

Training and Technical Assistance - Year One

	Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	FY1-Q1	Training	ROMA	
2	FY1-Q1	Training	Monitoring	
3	FY1-Q1	Both	Reporting	
4	FY1-Q1	Both	Other	Tech Support for reporting
5	FY1-Q2	Training	Governance/Tripartite Boards	
6	FY1-Q2	Both	Other	Performance Measurement & Data Analysis
7	FY1-Q2	Training	Strategic Planning	
8	FY1-Q2	Both	Other	Advocacy /Impact Reporting
9	FY1-Q3	Both	Other	Peer to Peer learning
10	FY1-Q3	Training	Other	Poverty Conference/Case Management training
11	FY1-Q3	Training	Other	Risk Assessment
12	FY1-Q4	Training	Other	Financial Grant Management
13	FY1-Q4	Both	Other	Application & Planning
14	Ongoing / Multiple Quarters	Both	Organizational Standards for eligible entities with unmet TAPs and QIPs	
15	Ongoing / Multiple Quarters	Both	ROMA	

Training and Technical Assistance - Year Two

8.1a. Training and Technical Assistance Budget: The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):

Year One	\$80,000	Year Two	
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8.1b. Training and Technical Assistance Collaboration: Describe how the state will collaborate with the state association and other stakeholders in the planning and delivery of training and technical assistance.

The State collaborates with the State Association and other stake holders in the planning and delivery of training and technical assistance (t/ta). The State works with the State Association to solicit input from the CAAs as to t/ta need. The State Association surveyed CAAs and other stake holders at its Poverty Conference (September 2018) and distributed another survey in January 2019. It conducted round table discussions with the CAAs (3/26/19 and 4/12/19) and invited the State to call in to answer questions. In each forum, topics and best platform for t/ta delivery were discussed as well as whether the State, State Association, or other resource would be best to provide the training. In this way, a plan for FY20 T/TA was developed that specifically identified timetable, topic, format, and presenting organization.

8.2. TAPs and QIPs: Does the state have Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? ☐ Yes ☒ No

Note: This information is associated with [State Accountability Measure 6Sb](#). QIPs are described in [Section 678C\(a\)\(4\)](#) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

8.2a. Address Unmet Organizational Standards: Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. **One agency did not meet standard 5.5 due to lack of quorum for the tripartite board which caused meeting cancellation. This was followed by an inability to schedule another meeting within the time specified by bylaws. Additionally, the same agency struggled to fill a vacant, public sector board position (standard 5.1). The agency filled the vacancy, held board member training on roles and responsibilities, adjusted language in its bylaws, and has since met quorum and held all meetings. The State supported the agency with t/ta on board roles and responsibilities and suggestion of review of language in bylaws. There is no ongoing corrective action. Another agency did not meet standard 6.4. The documentation used to support the standard at time of the monitoring was inadequate. New surveys were sent and results**

were shared with SCSO. The agency demonstrated how this feedback was used in strategic planning and would continue to be used going forward. There is no ongoing corrective action.

8.3. Training and Technical Assistance Organizations: Indicate the types of organizations through which the State Plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement. *[Check all that apply.]*

- ☐ CSBG eligible entities *(if checked, provide the expected number of CSBG eligible entities to receive funds)*
- ☐ Other community-based organizations
- ☒ State Community Action association
- ☒ Regional CSBG technical assistance provider(s)
- ☒ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other

8.4. Performance Management Adjustment: Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sd may pre-populate the state's annual report form

The State coordinated with the state association to conduct a survey and hold round table discussions to better understand the teaching and technical assistance needs of the CAAs and to more directly include their input into the FY20 CSBG State Plan. The State took on this role directly, previously, and learned from prior year input that it may be better for the state association to conduct the meetings and gather the survey input. The State recognized need for some training in grant management as a result of monitoring and has worked that into the T/TA plan as well. The CAAs asked for training in several areas, including the annual report and data analysis. The State included these requests in preparation of its T/TA plan for FY20.

Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:06/30/2021

SECTION 9 State Linkages and Communication

Note: This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1. State Linkages and Coordination at the state Level:

Describe the linkages and coordination at the state level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's Annual Report, Module 1, Item G.1.

- ☒ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☒ State Weatherization office
- ☒ State Temporary Assistance for Needy Families (TANF) office
- ☒ State Head Start office
- ☒ State public health office
- ☒ State education department
- ☒ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☒ State budget office
- ☒ Supplemental Nutrition Assistance Program (SNAP)
- ☒ State child welfare office
- ☒ State housing office
- ☐ Other

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the state to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services, (and as required by assurances under Sections 676(b)(5) - (6))

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6., and pre-populates the Annual Report, Module 1, Item G.2.

Linkages and coordination efforts are identified at a local level by the CAAs. Through the needs assessment and the community action plan, the nine CAAs in Utah identify the gaps in their areas and create the linkages and engage in service coordination to fill as many gaps as possible. The State asks for specific input from the CAAs through surveys on how to facilitate better linkages on the local level. The State will continue to support and work with the CAAs to support collaborative efforts that may be beyond individual agency capacity. The State will support each entity in their efforts to work with other State department's local offices and will analyze the needs assessments and CAPs to identify overlap or opportunities for agencies to collaborate at a local level. If overlap is identified, the State will work with the CAAs to collaborate and redirect resources and clients to reduce duplication. Below is a list of linkages and coordination throughout the State that is in place and/or will be developed during this State Plan. A Youth and Family programs at local community centers including local Head Start programs A DWS employment programs--WIOA One Stops/American Job Centers A DWS--Intergenerational Poverty State Initiative A DWS--Operation Rio Grande Homelessness Initiative A DWS-TANF A DWS--Vocational Rehabilitation job placement and coaching services A Food Pantries A Utah Food Bank for the distribution of food to other food banks and pantries throughout the State A Local summer food programs to provide lunches and dinners to students while they are out of school A FEMA--EFSP/Food Insecurity A Local grocery stores for the supply of perishable goods for food pantries A LDS Employment, Family, and Deseret Industry Services for self-sufficiency A Local Health Departments for medical, hygiene, and referral services A United Way VITA programs for Tax services A Utah housing and local county housing coalition for development of fair and accessible housing A Volunteer groups from local churches and universities to assist in increase organizational capacity to deliver services A Local homeless shelters to house homeless clients, Rapid Rehousing Programs A Local Domestic Violence Shelters A Local Housing Authorities A USDA--Rural Planning Issues A Governor's Office of Economic Development (GOED) A Rural Planning A Local Homeless Coordinating Committees A State Homeless Coordinating Committee A HUD Continuum of Care/ESG/HOPWA A Local public schools, applied technology centers, and community colleges. A Voices of Utah Children to provide advocacy of children's needs throughout Utah A Local HEAT, LIHEAP and Weatherization services A Local Aging Services A Americorps Utah A Vista program

9.3. Eligible Entity Linkages and Coordination

9.3a. State Assurance of Eligible Entity Linkages and Coordination:

Describe how the state will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Note: This response will link to the corresponding CSBG assurance, item 14.5.

The State conducts regular programmatic monitoring of the nine CAAs. During these monitoring visits, the State reviews the CAAs for linkages and coordination that the entities identified in the needs assessments and in their application for funds. The SCSO will determine if the entities have created the linkages and coordination with other agencies identified in the CAP. If the State determines that the entities have not met this assurance, the State will work with the entities and provide the needed support to assist the CAAs in fulfilling the assurance.

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:

Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under [Section 676\(b\)\(3\)\(B\)](#) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.3b., and pre-populates the Annual Report, Module 1, Item G.3b.

Linkages, as described in Sec. 675 (C) of the CSBG Act, occur with the: \hat{A} (1) use (of) funds available under this subtitle \hat{A} (D) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals. \hat{A} Linkages occur as local grantees prepare a community action plan every three years by conducting local needs assessments, describing resources available in their respective areas, performing an analysis of services designed to identify gaps and duplication, and finally, describing the agency policies and procedures regarding coordination. Local grantees are working to expand their strategic planning beyond the 3-Year Needs Assessment conducted in their communities. The CAAs coordinate with their local Workforce Services, school districts, Continuum of Care and their local homeless coordinating committees to extend community involvement in their agencies, enhance integration of services, maximize impact, and deepen understanding of need. These linkages not only provide more effective service delivery, but also help agencies meet the proposed organizational standards addressing consumer input and involvement as well as strategic planning. Documentation of linkages is provided with the grant application to the State. The application identifies the other agencies and resources which coordinate and support the work program activities proposed.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under [Section 676\(b\)\(5\)](#) of the CSBG Act)? ☒ Yes ☐ No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.4a. WIOA Combined Plan: If the state selected "yes" under item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

The State of Utah includes CSBG employment and training activities in its WIOA Unified Plan through language that recognizes partnership and coordination with required partners. As the State implements the unified plan, it will work to refine and further develop that coordination and support through State Workforce Development Board committees and expert work groups. CAAs are encouraged (through contract and monitoring) to coordinate with and refer to their local Workforce Services One Stop. Coordination is additionally tightened for those Workforce Service centers that have transitioned to become American Job Centers.

9.4b. Employment and Training Activities: If the state selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system.

9.5. Emergency Energy Crisis Intervention:

Describe how the state will assure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the state, as required by the assurance under [Section 676\(b\)\(6\)](#) of the CSBG Act).

Note: This response will link to the corresponding CSBG assurance, item 14.6.

During the review of the Annual Report, the SCSO reviews the linkages that exist between eligible entities and other antipoverty programs such as low-income home energy assistance programs. The State will continue to support coordination through referrals to eligible entities of other programs they qualify to provide. List of CAAs which administer LIHEAP program: 1. Bear River Association of Governments 2. Five County Association of Governments 3. Salt Lake Community Action Program dba Utah Community Action 4. Six County Association of Governments 5. Southeastern Utah Association of Local Governments 6. Uintah Basin Association of Governments List of CAAs who collaborate and refer clients to entities with LIHEAP programs: 1. Community Action Services and Food Bank \hat{A} collaborates w/ Mountainland Association of Governments 2. Family Connection Center dba Open Doors \hat{A} collaborates w/ Futures Through Training, Ogden 3. Ogden-Weber Community Action Partnership \hat{A} collaborates w/ Futures Through Training, Ogden

9.6. Faith-based Organizations, Charitable Groups, Community Organizations:

Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under [Section 676\(b\)\(9\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.9.

The State of Utah assures that CSBG funds are coordinated with other organizations, including faith-based organizations, charitable groups, and community organizations, primarily through the process of requiring and collecting comprehensive 3-Year Community Needs Assessments, in accordance with CSBG Act, and through monitoring activities, including but not limited to the collection of Information Survey (IS) Reports/annual report each year and monitoring on Organizational Standards. Eligible entities are required to provide to the State of Utah, every three years, a comprehensive community assessment, which includes data specific to poverty and its prevalence related to gender, age, and race/ethnicity in the service area, qualitative and quantitative data on the geographic service area, and key findings on the causes and conditions of poverty and the needs of the communities assessed. The community assessment also includes information gathered from key sectors of the community, including at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions. The information gathering activities, mandated by the community needs assessment, require eligible entities to engage and communicate with other service providers in the service area. In addition, the assessment requires the eligible entity to analyze internal programmatic activities and resources to determine whether more effective strategies for service delivery or opportunities for partnership or coordination exist. The State of Utah utilizes the process and findings of the community needs assessments to encourage more effective use of funds and coordination and collaboration with related programs and organizations in each respective service area. The State of Utah further assures coordination of programs and partnerships among local entities and other organizations through monitoring activities, including but not limited to the collection of Information Survey (IS) Reports/annual report each year and monitoring on Organizational Standards. The annual report includes National Performance Indicators (NPIs) that measure the number agencies with which each local eligible entity partners and the number of partnerships the eligible entity engages with respect to CSBG. Further, Organizational Standards require agencies to document or demonstrate partnerships across the community, for specifically identified purposes (Standard 2.1), and to utilize CNA information from key sectors.

9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under [Section 676\(b\)\(3\)\(C\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.3c.

The State of Utah assures that CSBG funds are coordinated with other public and private resources primarily through monitoring activities, including the collection of Information Survey (IS) Reports/annual report and through the process of requiring and collecting comprehensive 3-Year Community Needs Assessments, in accordance with CSBG Act Section 676(b)(11). The State of Utah assures coordination of programs and effective use of funds through monitoring activities, including but not limited to the collection of Information Survey (IS) Reports/annual reports each year. IS Reports/annual reports include detailed information on the public and private resources of local eligible entities and how resources are used. Additionally, eligible entities are required to provide to the State of Utah every three years a comprehensive community assessment. The activities mandated by the community needs assessment require eligible entities to analyze internal programmatic activities and resources to determine whether more efficient or effective strategies for service delivery exist within the agency. The State of Utah utilizes the process and findings of the community needs assessments to encourage more effective use and coordination of resources and coordination with related programs in each respective service area. Furthermore, the eligible entity work plans produced in the community needs assessments are used to inform the CSBG contract making process with each eligible entity.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe state activities for supporting coordination among the eligible entities and the state community action association.

Note: This information will pre-populate the Annual Report, Module 1, Item G.5.

The State of Utah supports coordination among CSBG eligible entities through the discretionary activities of the State Association, Community Action Partnership of Utah (CAP Utah). CAP Utah convenes bimonthly State Association Meetings that are open to all local eligible entities and are a forum for collaboration, coordination, and CSBG training and technical assistance. CAP Utah also supports coordination among eligible entities through facilitation of communications of the CSBG peer-network in Utah, including through the maintenance of an electronic library of CSBG T/TA resources, and timely updates from state and national partners. CAP Utah also hosts the Annual Conference on Poverty, a two-day training event that increases the capacity of eligible entities and serves as a forum for collaboration, continuing education, networking, peer-support, and skills development. Furthermore, coordination is supported, encouraged, and facilitated as needed through regular consultation by CAP Utah with local eligible entities.

9.9. Communication with Eligible Entities and the State Community Action Association:

In the table below, detail how the state intends to communicate with eligible entities, the state community action association, and other partners identified under this State Plan on the topics listed below. For any topic that is not applicable, select "Not Applicable" under Expected Frequency.

Communication Plan			
Subject Matter	Expected Frequency	Format	Brief description of "Other"
Upcoming Public and/or Legislative Hearings	Annually	Email Public Notice	
State Plan Development	Annually	Other	Survey sent to CAAs January 2019. Round table discussions with CAAs held 3/26/19 and 4/12/19. Draft sent for comment June 14, 2019. Other no longer provided as a selection choice
Organizational Standards Progress	As needed	Meetings/Presentation Email	
State Accountability Measures Progress	Annually	Email Webinar	
Community Needs Assessments /Community Action Plans	Annually	Email Webinar	
State Monitoring Plans and Policies	Annually	Email Webinar	
Training and Technical Assistance (T/TA) Plans	Annually	Meetings/Presentation Email Webinar	Annual training is provided as well as on an as needed basis. Communication /meetings follow accordingly
ROMA and Performance Management	Annually	Meetings/Presentation Email Webinar	
State Interagency Coordination	Annually		
CSBG Legislative/Programmatic Updates	As needed	Email	Updates are forwarded as they are received and reviewed during webinars/in person meetings.
Tripartite Board Requirements	Annually	Webinar	
Topic	Expected Frequency	Format	Brief Description of "Other"
1 Strategic Planning	Annually	Email Webinar	

9.10. Feedback to Eligible Entities and State Community Action Association:

Describe how the state will provide information to local entities and state community action associations regarding performance on state accountability measures.

Note: This information is associated with [State Accountability Measure 5S\(iii\)](#), and will pre-populate the Annual Report, Module 1, Item G.6

The State forwards copy of the ACSI report to the agencies within 30 days of receipt of the report. The State presents the report at State Association meeting following the distribution of the report. The State shares its plan for improvement on the ACSI through email, webinar discussion, or in person meeting (State Association or other) within 60 days of receipt of report and following analysis and strategic planning conducted by the State.

9.11. Performance Management Adjustment:

Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 7Sb](#); this response may pre-populate the state's annual report form.

The State adjusted its communication plan to solicit and encourage CAA participation in the development of the FY20 State Plan. The State recognized from analysis of the 2017 ASCI scores that there was an opportunity to improve performance in this area. Changes were made in process for the preparation of the plan. SCSO review of the adjustments made in FY19 encouraged further adjustment for the development of the FY20 plan. For FY20, SCSO collaborated with the State Association which administered surveys and conducted round tables to gather input for the FY20 plan. SCSO called into the round table meetings, but did not attend in person so as to encourage as open and robust a discussion as possible. The feedback gathered by the State Association was shared with SCSO and incorporated into the development of the FY20 plan.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 10 State Use of Funds

Monitoring, Corrective Action and Fiscal Controls (Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist states in planning. States may indicate "no review" for entities the state does not plan to monitor in the performance period.

Note: This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module I, Table H.I.

	CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of "Other"
1	Bear River Association of Governments	Full On-site	Onsite Review	FY1 Q3	05/20/2019	05/20/2019	
2	Community Action Services and Food Bank	Full On-site	Onsite Review	FY1 Q3	05/09/2019	05/09/2019	
3	Family Connection Center	Full On-site	Onsite Review	FY1 Q1	11/20/2018	11/20/2018	
4	Five County Association of Governments	Full On-site	Onsite Review	FY1 Q2	06/06/2019	06/06/2019	
5	Ogden-Weber Community Action Partnership Inc.	Full On-site	Onsite Review	FY1 Q2	01/09/2019	01/09/2019	
6	Salt Lake Community Action Program	Full On-site	Onsite Review	FY1 Q3	06/12/2019	06/12/2019	
7	Six County Association of Governments	Full On-site	Onsite Review	FY1 Q3	05/21/2019	05/21/2019	
8	Southeastern Utah Association of Local Governments	Full On-site	Onsite Review	FY1 Q2	02/20/2019	02/20/2019	
9	Uintah Basin Association of Governments	Full On-site	Onsite Review	FY1 Q3	04/25/2019	04/25/2019	

10.2. Monitoring Policies:

Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink.

See Attached Policies and Procedures

10.3. Initial Monitoring Reports:

According to the state's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state's annual report form.

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Corrective Action, Termination and Reduction of Funding and Assurance Requirements (Section 678C of the Act)

10.4. Closing Findings:

Are state procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? ☒ Yes ☐ No

10.4a. Closing Findings Procedures: If no describe state procedures for addressing eligible entity findings/deficiencies, and documenting the closure of findings.

N/A

10.5. Quality Improvement Plans (QIPs):

Provide the number of eligible entities currently on QIPs, if applicable.

Note: The QIP information is associated with State Accountability Measures 4Sc.

0

10.6. Reporting of QIPs:

Describe the state's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

Note: This item is associated with State Accountability Measures 4Sa(iii).

At the discretion of the State (taking into account the seriousness of the deficiency and the time reasonably required to correct the deficiency), the State allows the entity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan (QIP) to correct such deficiencies within a reasonable period of time, as determined by the State. The State will review and issue a decision on whether to approve the plan no later than 30 days after receiving the plan from an eligible entity. If the State does not accept the plan, the State will specify the reasons why the proposed plan cannot be approved and will, in partnership with the entity, develop and implement a different QIP with an accompanied time frame. SCSO will report to the Federal OCS any QIP within 30 calendar days of the QIP being created and approved. The report will contain the agency undergoing the QIP, the deficiency being addressed, the rationale for the QIP, and the QIP in its entirety.

10.7. Assurance on Funding Reduction or Termination:

The state assures, "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)" per Section 676(b)(8). ☒ Yes ☐ No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Eligible Entity Designation: Do the State CSBG statute and/or regulations provide for the designation of new eligible entities? ☐ Yes ☒ No

10.8a. New Designation Citation: If yes, provide the citation(s) of the law and/or regulation.

10.8b. New Designation Procedures: If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public

The State Community Services Office will adhere to the requirements in Section 676A of the CSBG Act and the federal guidance provided in Office of Community Services, CSBG Information Memorandum, Transmittal No. 42 to re-designate eligible entities.

10.9. Eligible Entity Termination: Do State CSBG statute and/or regulations provide for termination of eligible entities ☐ Yes ☒ No

10.9a. Termination Citation: If yes, provide the citation(s) of the law and/or regulation.

10.9b. Termination Procedures: If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public

The State Community Services Office will adhere to the requirements in Section 678C of the CSBG Act and the federal guidance provided in Office of Community Services, CSBG Information Memorandum, Transmittal No. 116 to terminate the designation of eligible entities.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? ☐ Yes ☒ No

10.10a. If Yes, provide the citation(s) of the law and/or regulation.

10.10b. If No, describe State procedures for re-designation of existing eligible entities.

The State Community Services Office will adhere to the requirements in Section 676A of the CSBG Act and the federal guidance provided in Office of Community Services, CSBG Information Memorandum, Transmittal No. 42 to re-designate eligible entities.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

The primary financial accounting system for the State of Utah is FINET. The FINET system facilitates budget planning and long-range financial programming. Data from this system is used to compile the annual SF-425 Federal fiscal reports (FFR). The accrual basis report is reviewed by the Division Accounting Manager and submitted annually based on the September 30 Federal fiscal year end. The SCSO, within the Housing and Community Development Division (HCDD) of the Utah Department of Workforce Services (DWS), has primary responsibility for administering the CSBG program. SCSO utilizes WebGrants, a web-based grants management system, for tracking administrative and discretionary expenditures under the CSBG program. Financial data from the Web Grants system is reconciled to the FINET system periodically. Eligible entities are required to submit an annual application which includes a community action plan (CAP) and CSBG program budget. The applications are submitted online; funding is appropriated; and the grant agreements are generated from the Web Grants system. The CSBG sub-awards are managed on a cost reimbursement basis. Throughout the grant period, the sub-recipients create and submit a request for reimbursement online using Web Grants. Costs are summarized and reported by CSBG budget category. Supporting documentation includes a minimum of transaction level detail report(s) generated from the eligible entity's financial management system is attached to each request for funds (RFF). The RFF is reviewed by the program specialist to determine if the reported costs are appropriate and, if approved, forwarded to DWS Finance for further processing. Finance reviews each claim and, upon approval, forwards authorization for payment. All nine eligible entities requested and have been approved for Direct Deposit. Discretionary funds are managed similarly to those of the eligible entities. Administrative costs include the salaries and benefits for various staff assigned to the CSBG program. Time is recorded in an online database and the detail is maintained in FINET. The State uses direct billing for all employee expenses, including travel. Summary amounts for administrative costs incurred are posted in the WebGrants system to assist the Program Manager in monitoring budgeted versus actual expenditures.

10.12. Single Audit Management Decisions:

Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521.

Note: This information is associated with State Accountability Measure 4Sd.

Single audit reports are reviewed by the Department of Workforce Services (DWS) single audit Compliance Officer and a Financial Analyst within DWS. SCSO is notified in writing of any findings that may affect CSBG or other programs administered by SCSO. The DWS auditor reviews the independent auditor's finding(s) and the CAA's response(s). The DWS auditor notifies the CSBG program manager of any findings related to programmatic issues. SCSO staff may request specific documentation or conduct an on-site review to determine the extent to which CSBG program funds or program requirements may be affected. Once the evaluation has been completed, DWS issues a management decision letter to the CAA. DWS issues the management decision letter within six months of the date the single audit is accepted by the Federal Audit Clearinghouse. The letter states whether or not

the audit finding is sustained, the reasons for the decision, and the expected CAA action to repay disallowed costs, make financial adjustments, or other action. For findings involving questioned costs, the management decision letter includes a statement that: 1. The corrective action taken by the CAA is considered adequate to resolve the finding and no further action is required; or 2. Additional information needs to be provided by the CAA as to the status of the planned corrective action; or 3. Based on the information made available through the date of the Management Decision Letter, the CAA is required to reimburse DWS an amount for questioned costs, or provide additional documentation justifying the allowability of questioned costs by a specified date. The CAA is provided information regarding any appeal process available and notified of the consequences for failure to honor such request for repayment or additional documentation. For administrative findings, the Management Decision Letter includes a statement that: DWS is satisfied that the CAA has taken corrective action to resolve the finding(s), and no further action is required; or The CAA needs to address the uncorrected issues by developing and implementing the necessary corrective actions. The CAA may be required to submit quarterly progress reports, with the due date of the initial report and dates for subsequent quarterly reports specified. Any uncorrected administrative findings will be tracked until effective corrective action is implemented, or other resolution occurs that meets the approval of DWS.

10.13. Assurance on Federal Investigations:

The state will "permit and cooperate with Federal investigations undertaken in accordance with [Section 678D](#)" of the CSBG Act, as required by the assurance under [Section 676\(b\)\(7\)](#) of the CSBG Act. ☒ Yes ☐ No

Note: This response will link with the corresponding assurance, Item 14.7.

10.14. Performance Management Adjustment:

Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

Note: This item is associated with State Accountability Measure 4Sb and may pre-populate the state's annual report form.

The State streamlined its monitoring procedure to review as many of the standards as possible through desk review of submitted documentation prior to the onsite visit. This adjustment shrank the amount of time the State was onsite, thereby limiting impact on operations caused by a monitoring visit, and provided more time for contract performance discussion and questions. The agencies expressed appreciation of the shift and the State recognized, through analysis of past monitoring reports, that it would be beneficial to have more onsite time to review of contract performance.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires: 06/30/2021
SECTION 11 State Use of Funds	
11.1. Tripartite Board Verification: Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act <i>(Check all that applies and narrative where applicable)</i>	
<input checked="" type="checkbox"/> Attend Board meetings	
<input checked="" type="checkbox"/> Organizational Standards Assessment	
<input checked="" type="checkbox"/> Monitoring	
<input checked="" type="checkbox"/> Review copies of Board meeting minutes	
<input checked="" type="checkbox"/> Track Board vacancies/composition	
<input type="checkbox"/> Other	
11.2. Tripartite Board Updates: Provide how often the state require eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc. <i>[Select one and narrative where applicable]</i>	
As it Occurs	
11.3. Tripartite Board Representation Assurance: Describe how the state will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity's Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act	
<i>Note: This response will link with the corresponding assurance, item 14.10.</i>	
<p>The SCSO will review, as part of the monitoring process each fiscal year, the bylaws of the eligible entities and determine if there is a procedure describing how a qualified individual or organization can petition for representation on the board. This review occurs before the SCSO Program Specialist arrives at the organization's site. If the Program Specialist determines that the procedure is not in the bylaws then the SCSO will provide the agencies with the appropriate language and procedure, and require that the agency incorporate the procedures into their bylaws by the next agency board meeting (the agency will be permitted to use language that is appropriate for their agency). Within one week of the board meeting, the agency is required to submit the updated and approved bylaws to the appropriate SCSO staff for review and verification. SCSO will ensure that all eligible entities have a petitioning procedure in their bylaws. If, after being supplied with the appropriate language and procedure, the agency does not include such a procedure in its bylaws by the next board meeting, the SCSO will pursue corrective action or training and technical assistance to ensure that the agency included the proper petitioning procedures.</p>	
11.4. Tripartite Board Alternative Representation: Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the state to assure decision-making and participating by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act.	
<input type="radio"/> Yes <input checked="" type="radio"/> No	
11.4a. Tripartite Board Alternative Mechanism: If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.	

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

Provide the income eligibility threshold for services in the state.

[Check one item below.]

☒ 125% of the HHS poverty line ☐ X% of the HHS poverty line (fill in the threshold) ☐ Varies by eligible entity

0% % *[Response Option: numeric field]*

12.1a. Income Eligibility Policy and Procedures: Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

All clients receiving services or participating in programs that use CSBG funding must be able to demonstrate that they are eligible for the CSBG program and that the household gross income, of those 18 years or older, is 125% or less than the federal poverty guidelines. According to Community Action Program Legal Services (CAPLAW), the income of all members of each individual family unit must be included in determining the income eligibility. A family unit is either (1) related individuals, or (2) an unrelated individual excluding house mates (renters or leasers). If a household includes more than one family unit, the poverty guidelines shall be applied separately to each family unit, and not to the household as a whole. If a person lives with a family, add up the income of all family members. (Do not count Non-relatives such as housemates [renters, leasers]) A list of allowable and unallowable income verification types and sources is available upon request. In order to accurately determine income eligibility for program services, the eligibility determinations must be based on gross household income for the 30 days prior to application for assistance/services. In order to continue to qualify for services, each Agency will require recipients of CSBG funded services to submit approved income documentation at a minimum of once every 12 months. In order to accurately demonstrate client eligibility, the following items must be included in each client file: ☐ Current poverty guidelines ☐ Gross income for all household members over 18 (as determined from the above sources) ☐ Source documentation for determining income and income types and amounts ☐ Calculations used to determine annualized gross income Agencies are also required to verify residency using a financial or bill statements, letters or documents from an official government source or verifiable entity, or other confirmable source excluding friends, relatives, or neighbors. Mailed sources must have been received by the applicant within 30 days prior to the application being filled out and submitted. Limited in-take procedures In situations where individual income verification is not possible or practical, or the client claims zero income, eligible entities are required verify income in one of the following ways: a) Using third party documentation, such as other government funded program applications (e.g. SNAP and TANF, etc.). b) In the situation that income documentation does not exist, or the participant has tried to retrieve documentation of proof of income and has been unsuccessful, the participant is required to complete and sign a self-declaration of no income.

12.2. Income Eligibility for General/Short-Term Services:

Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical),An example of these services is emergency food assistance.

The nine CAAs agencies throughout Utah verify income, using third party documentation, for every program that requires verification. In the situation that such documentation does not exist, or the participant has tried to retrieve documentation of proof of income and has been unsuccessful, the participant is required to complete and sign a self-declaration of no income. When the participant is able to obtain proof of income, the participant is required submit it to a case manager who will then assess the income eligibility of the services provided.

12.3. Community-targeted Services: Describe how the state ensures eligible entities' services target and benefit low-income communities for services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations).

Eligible entities begin the process of ensuring that services target low-income communities through the needs assessment. This assessment surveys low-income individuals and organizations serving low-income people. The survey collects information regarding services that are available and services that are needed. With this data, entities create partnerships, strategic goals, community programs, and services that target the people and organizations surveyed. The agencies partner with other organizations that serve low-income individuals and their communities. The State verifies, (using the needs assessment, IS report, and monitoring results) that services are targeting low-income individuals.

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)	Form Approved OMB No: 0970-0382 Expires: 06/30/2021
SECTION 13 Results Oriented Management and Accountability (ROMA) System	
13.1. Performance Measurement System: Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act.	
<i>Note: This response will also link to the corresponding assurance, Item 14.12 and will pre-populate the Annual Report, Module 1, Item 1.1.</i>	
The Results Oriented Management and Accountability (ROMA) System	
Section 678E(b) of the CSBG Act	
13.1a. ROMA Description: If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA.	
The State includes adherence to the organizational standards in its CSBG contracts. The State's monitoring tool also includes the organizational standards, several of which incorporate ROMA. The State supports ROMA training and implementation through Discretionary activities which include support for regular training, as-needed training, and consultation on ROMA principles to local CAAs by ROMA certified trainers.	
13.1b. Alternative System Description: If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement.	
13.2. Outcome Measures: Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
<input checked="" type="checkbox"/> CSBG National Performance Indicators (NPIs)	
<input type="checkbox"/> NPIs and others	
<input type="checkbox"/> Others	
The State of Utah will use the CSBG National Performance Indicators as outcome measures to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act.	
13.3. Eligible Entity Support: Describe how the state supports the eligible entities in using the ROMA or alternative performance measurement system.	
<i>Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.</i>	
The nine Community Action Agencies (staff and boards) have been trained and continue to receive ongoing training in outcome-based management, and Community Action Agencies have implemented ROMA concepts for all CSBG-related activities to guide needs assessments, agency mission review, activity planning, resource allocations, service delivery, and measuring and reporting results. The use of a data system is required and must be submitted annually to the State to support the Annual Report. With this requirement, the agencies have the data available to evaluate program performance and make adjustments. In monitoring to compliance with the organizational standards, the State also holds agencies and their board accountable to using ROMA methodology and provides T/TA support via the State Association on a scheduled and as-needed basis. ROMA training is included in the FY20 T/TA plan.	
13.4. Eligible Entity Use of Data: Describe how is the state plan to validate the eligible entities that are using data to improve service delivery?	
<i>Note: This response will also link to the corresponding assurance, Item 14.12.</i>	
The State does and will ensure that entities are using client data, which is tracked and gathered for outcome measures and to improve service delivery, as part of the monitoring process and procedures that occur annually. The SCSO attends or receives minutes of mid-year board meetings where the CAAs report on their mid-year progress in meeting organizational goals. During the monitoring process, the State will continue to review the ROMA tracking system that each entity uses. Most of the CAAs have either the ClientTrack or CAP60 system that is used for client application in-take and outcome measures. During the monitoring process, the SCSO staff member reviews the entity's client tracker systems and data reports. The use of data is also verified in the mid-year and annual reports. Below are the monitoring questions that the State asks the eligible entities on how data is used to improve service delivery: Is the agency on track to meet the goals and objectives stated in the application and Scope of Work by the end of the contract period? Is the agency utilizing all of its current year Performance Measures in its service delivery area to measure outcomes? Has the agency developed a system, or does the agency use the existing ROMA system, to provide a description of outcome measures to be used to measure performance in promoting self-sufficiency, family stability, and community revitalization? Is the agency utilizing all of its current year Performance Measures in its service delivery area to measure outcomes?	
Community Action Plans and Needs Assessments	
13.5. Community Action Plan: Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act.	
<i>Note: this response will link to the corresponding assurance, Item 14.11.</i>	
The State requires a work plan to accompany annual application for CSBG funding. The contract work plan must tie directly to the agency's Community Action Plan which comes from the CAA's three year community needs assessment. The next needs assessments and community action plans will be	

submitted to the SCSO in August, 2019.

13.6. Community Needs Assessment:

Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

The State currently and will continue to require that agencies submit a community needs assessment every three years as required by Section 676(b)(11) of the CSBG Act. In August 2019, the next needs assessment will be submitted by the CAAs to SCSO. If an agency does not submit a needs assessment, the State will make sure T/TA and consulting is provided to the entity to assist in conducting an assessment.

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:06/30/2021

SECTION 14 State Use of Funds

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the state will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
- (ii) to secure and retain meaningful employment;
- (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
- (iv) to make better use of available income;
- (v) to obtain and maintain adequate housing and a suitable living environment;
- (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
- (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

CSBG funds are used to support the homeless, elderly, low-income individuals and their families, and families receiving TANF that are income eligible for CSBG. The State will collect, through the needs assessment and the CAP, the different programs and services that will be offered in each program area. Each entity does not offer programs in each area; this largely depends on the needs in their counties and the funds and staff available to each entity. The State will verify that the services and programs are being provided through the information collected in the annual report. Through yearly programmatic monitoring, the State will follow up with the entities to determine if they are spending money in the programmatic areas as planned as part of contract performance review. The annual monitoring also includes review of local partnerships, linkages, and referrals to assure that clients emergency needs are met, literacy, financial, and employment skills are promoted, housing needs are addressed, and grass roots participation is fostered.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the state will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

Development of programs that support the primary role of the family: The State supports: 1. Food box programs 2. Providing family support programs: nursery, parent education, and therapy. 3. Working with parents and providing them the skills to support their children in a way which increases academic achievement. Prevention of Youth problems and crime: The State supports: 1. Periodic anti-gang programs (not offered every year) coordinated with the local police department. 2. Providing community service resources for youth to make up for school and court hours. 3. Peer mediation, anti-tobacco and youth court programs Community coordination and collaboration in meeting needs of youth: The State supports: 1. Funding activities and outreach at the local Boys and Girls Clubs. 2. Funding fitness and physical activities at the local community buildings and recreational centers. 3. Work with local food banks, school districts and local principals to provide the weekend food backpack program. Support innovative community youth development programs: The State supports: 1. After school programs helping youth in physical development, team work, social skills, and self- esteem building 2. Day care for parents attending work or school 3. Summer or service activities to support parents/guardians when school is not in session, thus reducing the chance of youth participating in crime.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the state will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including state welfare reform efforts)

The State of Utah assures that funds are used to make more effective use of, and coordinate with, other programs related to the purposes of CSBG through several mechanisms, including coordination with the State initiative on Intergenerational Poverty and local initiatives on homelessness, facilitated by investment of State discretionary funds for Operation Rio Grande. The State also requires submission of comprehensive 3-Year Community Needs Assessments, in accordance with CSBG Act Section 676(b)(11). CNAs include data specific to poverty and its prevalence related to gender, age, and race/ethnicity in the service area, qualitative and quantitative data on the geographic service area, and key findings on the causes and conditions of poverty and the needs of the communities assessed. The analysis and strategic planning activities mandated by the CNA require eligible entities to examine internal programmatic activities and resources to determine whether more efficient or effective strategies for service delivery exist within the agency. The State of Utah will utilize the process and findings of the CNAs to encourage more effective use of funds and coordination with other funding sources and related programs in each respective service area. Furthermore, the eligible entity community action plans will be used to inform the CSBG contract making process with each eligible entity. The State of Utah further assures coordination of programs and effective use of funds through monitoring activities, including but not limited to the collection of Annual Reports each year, which include detailed information on the resources of local eligible entities and National Performance Indicators (NPIs) that measure eligible entities' capacity to achieve results. The State also encourages coordination through support of Continuum of Care and encouragement of CAA participation in local homeless coordinating committees. With homeless funds, HEAT, LIHEAP, Weatherization, emergency food, and TANF funds administered by DWS, program coordination is a natural result.

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the state will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the state, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the state;

Utah's CSBG network consists of nine community action agencies, five of which are public, and four of which are private. CSBG grantees meet the requirements of the CSBG Act through a variety of programs and activities. The service delivery systems vary among agencies, but all coordinate with local resources, including the WIOA One-Stops/American Job Centers. Changing local needs and the availability of resources are reflected in the annual application. Some agencies emphasize case management and family development programs, with others emphasizing emergency services, housing and nutrition. The community action plan identifies the problem area and outlines the objective, activities, and projected outcomes. The semi-annual progress report shows accomplishments and includes data on client management goals that fulfill its mission, State requirements, and the mandates of Federal legislation. Program administration includes planning and coordination, monitoring and oversight, characteristics and grantee level of effort.

Eligible Entity Linkages - Approach to Filling Service Gaps

14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."

Note: The state describes this assurance in the state linkages and communication section, item 9.3b.

Linkages, as described in Sec. 675 (C) of the CSBG Act, occur with the: (1) use of funds available under this subtitle (D) to coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals. Linkages occur as local grantees prepare a community action plan every three years by conducting local needs assessments, describing resources available in their respective areas, performing an analysis of services designed to identify gaps and duplication, and finally, describing the agency policies and procedures regarding coordination. Local grantees are working to expand their strategic planning beyond the 3-Year Needs Assessment conducted in their communities. The CAAs coordinate with their local Workforce Services, school districts, Continuum of Care and their local homeless coordinating committees to extend community involvement in their agencies, enhance integration of services, maximize impact, and deepen understanding of need. These linkages not only provide more effective service delivery, but also help agencies meet the proposed organizational standards addressing consumer input and involvement as well as strategic planning. Documentation of linkages is provided with the grant application to the State. The application identifies the other agencies and resources which coordinate and support the work program activities proposed.

Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources

14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."

Note: The state describes this assurance in the state linkages and communication section, item 9.7.

The State of Utah assures that CSBG funds are coordinated with other public and private resources primarily through monitoring activities, including the collection of Information Survey (IS) Reports/annual report and through the process of requiring and collecting comprehensive 3-Year Community Needs Assessments, in accordance with CSBG Act Section 676(b)(11). The State of Utah assures coordination of programs and effective use of funds through monitoring activities, including but not limited to the collection of Information Survey (IS) Reports/annual reports each year. IS Reports/annual reports include detailed information on the public and private resources of local eligible entities and how resources are used. Additionally, eligible entities are required to provide to the State of Utah every three years a comprehensive community assessment. The activities mandated by the community needs assessment require eligible entities to analyze internal programmatic activities and resources to determine whether more efficient or effective strategies for service delivery exist within the agency. The State of Utah utilizes the process and findings of the community needs assessments to encourage more effective use and coordination of resources and coordination with related programs in each respective service area. Furthermore, the eligible entity work plans produced in the community needs assessments are used to inform the CSBG contract making process with each eligible entity.

Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility

14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."

Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).

Local eligible entities use CSBG funds to meet family and community needs pertaining to poverty in their service regions, in accordance with the CSBG Act. The State of Utah will encourage eligible entities to make effective use of funds, including through the State initiative on intergenerational poverty, and through local initiatives related to fatherhood initiatives with the goal of strengthening families and encouraging parenting. Local eligible entities may also partner with other service providers, whose activities include initiatives relating to fatherhood, parenting, and strengthening families. Further, the State of Utah encourages and supports eligible entities in utilizing CSBG as base funds to leverage resources from other federal programs, such as Temporary Assistance for Needy Families (TANF), which directly supports initiatives pertaining to fatherhood, parenting, and strengthening families, in addition to other state, local, and private resources.

Eligible Entity Emergency Food and Nutrition Services

14.4. 676(b)(4) Describe how the state will assure "that eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."

Each of the nine CAAs will determine, in conjunction with the needs assessment, what food services and nutrition programs they will offer. The State will use the needs that are identified per agency and monitor each entity accordingly. The State will also use the annual report to verify that agencies are offering appropriate services in line with the identified needs in their area. Community Action Agencies provide a variety of food programs aimed at counteracting hunger and malnutrition for a diverse population of low-income individuals.

State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities

14.5. 676(b)(5) Describe how the state will assure "that the state and eligible entities in the state will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the state and in communities with entities providing activities through statewide and local workforce development systems under such Act."

Note: The state describes this assurance in the state linkages and communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

State Coordination/Linkages and Low-income Home Energy Assistance

14.6. 676(b)(6) Provide "an assurance that the state will ensure coordination between antipoverty programs in each community in the state, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."

Note: The state describes this assurance in the state linkages and communication section, items 9.2 and 9.5.

Federal Investigations

14.7. 676(b)(7) Provide "an assurance that the state will permit and cooperate with Federal investigations undertaken in accordance with section 678D." Yes

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

Funding Reduction or Termination

14.8. 676(b)(8) Provide "an assurance that any eligible entity in the state that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)." Yes

Note: The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

Coordination with Faith-based Organizations, Charitable Groups, Community Organizations

14.9. 676(b)(9) Describe how the state will assure "that the state and eligible entities in the state will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the state, including religious organizations, charitable groups, and community organizations."

Note: The state describes this assurance in the state Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the state will require each eligible entity in the state to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The state describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

The SCSO will review, as part of the monitoring process each fiscal year, the bylaws of the eligible entities and determine if there is a procedure describing how a qualified individual or organization can petition for representation on the board. This review occurs before the SCSO Program Specialist arrives at the organization's site. If the Program Specialist determines that the procedure is not in the bylaws then the SCSO will provide the agencies with the appropriate language and procedure, and require that the agency incorporate the procedures into their bylaws by the next agency board meeting (the agency will be permitted to use language that is appropriate for their agency). Within one week of the board meeting, the agency is required to submit the updated and approved bylaws to the appropriate SCSO staff for review and verification. SCSO will ensure that all eligible entities have a petitioning procedure in their bylaws. If, after being supplied with the appropriate language and procedure, the agency does not include such a procedure in its bylaws by the next board meeting, the SCSO will pursue corrective action or training and technical assistance to ensure that the agency included the proper petitioning procedures.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the state will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The state describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the state and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the state will carry out the assurances described in this section."

Note: The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.



By checking this box, the state CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

<p>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES Administration for Children and Families Community Services Block Grant (CSBG)</p>	<p>Form Approved OMB No:0970-0382 Expires:06/30/2021</p>
<h2 style="margin: 0;">SECTION 15</h2> <h3 style="margin: 0;">Federal Certifications</h3>	
<p>15.1. CERTIFICATION REGARDING LOBBYING</p> <p style="font-size: small; color: red;">The box after each certification must be checked by the state CSBG authorized official.</p>	
<p>15.1. Lobbying Certification for Contracts, Grants, Loans, and Cooperative Agreements After assurance select a check box:</p>	
<p><input checked="" type="checkbox"/> By checking this box, the state CSBG authorized official is providing the certification set out above.</p> <p>The undersigned certifies, to the best of his or her knowledge and belief, that:</p>	
<p>15.2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS</p> <p>After assurance select a check box:</p>	
<p><input checked="" type="checkbox"/> (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person or entity engaged in providing or attempting to influence an officer or employee of the U.S. Department of Health and Human Services, any other Federal agency, or any State, local, or tribal government, in connection with the awarding, making, or renewal of any contract, grant, loan, or cooperative agreement, and for notification of criminal drug convictions; (2) For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition.</p>	
<p>15.3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS</p> <p>After assurance select a check box:</p>	
<p><input checked="" type="checkbox"/> (1) No Federal appropriated funds other than Federal appropriated funds have been paid or will be paid to any person or entity engaged in providing or attempting to influence an officer or employee of any agency, for the awarding or making of a contract, grant, loan, or cooperative agreement, or for notification of criminal drug convictions; (2) For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition.</p>	
<p>15.4. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE</p> <p>After assurance select a check box:</p>	
<p><input checked="" type="checkbox"/> (1) No Federal appropriated funds have been paid or will be paid to any person or entity engaged in providing or attempting to influence an officer or employee of any agency, for the awarding or making of a contract, grant, loan, or cooperative agreement, or for notification of criminal drug convictions; (2) For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition.</p>	
<p>15.5. CERTIFICATION REGARDING PUBLIC REPORTING BURDEN</p> <p>After assurance select a check box:</p>	
<p><input checked="" type="checkbox"/> (1) No Federal appropriated funds have been paid or will be paid to any person or entity engaged in providing or attempting to influence an officer or employee of any agency, for the awarding or making of a contract, grant, loan, or cooperative agreement, or for notification of criminal drug convictions; (2) For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition.</p>	

the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9.4, declared ineligible, or voluntarily excluded from participation in this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes;

Criminal drug statute means a Federal criminal statute that prohibits the manufacture, distribution, dispensing, use, or possession of any controlled substance, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and those grantees who are directly engaged in the performance of a grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors, not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

The grantee certifies that it will or will continue to provide a drug-free workplace by:

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -

Primary Covered Transactions
(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(1) The prospective primary participant certifies to the best of its

(b) Establishing an ongoing drug-free awareness program to inform employees about--

(a) The dangers of drug abuse in the workplace;
(b) The department or agency's policy of maintaining a drug-free workplace;

(2) Any available drug counseling, rehabilitation, and employee assistance programs; and
(c) The penalties that may be imposed upon employees for drug abuse violations obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2), from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

(g) Making a good faith effort to continue to maintain a drug-free workplace through instructions for certification paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant.

By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

Place of Performance (Street address, city, county, state, zip code)

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

Check if there are workplaces on this transaction not identified here!

Alternate II. (Grantees Who Are Individuals)

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification is erroneous when submitted or has become unlawful by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, principal, person, primary covered transaction, principal, proposed, and work of any grantee, as used in this clause, have the meaning set out in the definitions and coverage sections of the solicitation, in general grant executive order design, or unless the Federal agency, to which this proposal is submitted, for assistance in obtaining a copy of those regulations. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into a covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

9. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.